

## STROOCK

## FACSIMILE

DATE October 13, 2004

TO	COMPANY NAME	FAX NO.
Office of Initial Patent Examination's Filing Receipt Corrections	U.S. Patent and Trademark Office	703-746-9195

TOTAL NO. OF PAGES 12

FROM Ian G. DiBernardo, Reg. No. 40,991

SENDER'S FAX NO. 212-806-6006

SENDER'S PHONE NO. 212-806-6288

SENDER'S EMAIL idibernardo@stroock.com

ROOM NO. 3861

ATTORNEY NO. 3350

CLIENT/MATTER NAME U.S. Patent Appln. Serial No. 10/808,820

CLIENT/MATTER NO. 649087/0004

## MESSAGE

Transmitted herewith please find:

1. Certificate of Transmission by Facsimile;
2. Request for Corrected Filing Receipt
3. Copy of Filing Receipt with changes indicated
4. Copy of the Combined Declaration and Power of Attorney
4. Copy of Recordation Form Cover Sheet
5. Copy of Assignment Recordation

## CONFIDENTIAL

The information contained in this facsimile is privileged and confidential, and is intended only for the use of the individual named above and others who have been specially authorized to receive such. If the recipient is not the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this communication in error, or if any problems occur with this transmission, please notify us by telephone at 212-806-6102.

STROOCK & STROOCK & LAVAN LLP • NEW YORK • LOS ANGELES • MIAMI  
100 MAIDEN LANE, NEW YORK, NY 10038-4982 TEL 212.806.5400 FAX 212.806.6006 WWW.STROOCK.COM

Docket No.  
649087/0004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: **James Worden Toffey** Group Art Unit: **3624**  
Application No.: **10/808,820** Examiner: **N/A**  
Filed: **March 25, 2004**  
For: **METHOD AND SYSTEM FOR EFFECTING  
STRAIGHT-THROUGH-PROCESSING OF TRADES OF VARIOUS  
FINANCIAL INSTRUMENTS**  
Date: **October 13, 2004**

**CERTIFICATE OF TRANSMISSION**  
**BY FACSIMILE (37 C.F.R. § 1.8)**

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

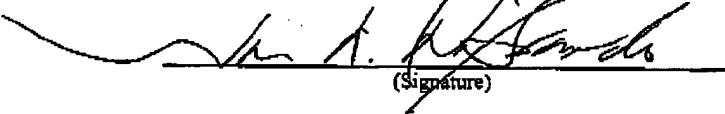
I hereby certify that the following correspondence:

**Request for Corrected Filing Receipt, Copy of the Combined Declaration and Power of Attorney, Copy of Recordation Form Cover Sheet, Copy of Assignment Recordation and Copy of Filing Receipt with changes indicated**

is being transmitted by facsimile to the United States Patent and Trademark Office in accordance with 37 C.F.R. § 1.8 on the following date: **October 13, 2004**

Ian G. DiBernardo

(Typed Or Printed Name Of Person Signing this Certificate)

  
(Signature)

## STROOCK

October 13, 2004

Ian G. DiBernardo  
212-806-6288  
idibernardo@stroock.com

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Attn: Office of Initial Patent Examination's  
Filing Receipt Corrections

Re: U.S. Patent Application Serial No. 10/808,820  
Applicant: James Worden Toffey  
For: METHOD AND SYSTEM FOR EFFECTING STRAIGHT-  
THROUGH-PROCESSING OF TRADES OF VARIOUS  
FINANCIAL INSTRUMENTS  
Attorney Docket No. 649087/0004

## REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir or Madam:

We have received a Filing Receipt for the above-identified patent application and have noted that there is an error in the Applicant(s) section of this Filing Receipt. Namely, James Toffey's middle name is misspelled.

In the Applicant(s) section of the Filing Receipt, please correct the spelling of the inventor's name as shown below, in which the middle name includes an "o", not an "a".

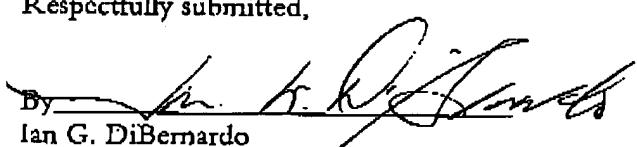
James Worden Toffey

In support, we enclose a copy of the Combined Declaration and Power of Attorney filed with the application in which Mr. Toffey corrected the spelling of his name. Also enclosed is the Recordation Form Cover Sheet and Notice of Recordation showing the correct spelling of the inventor's middle name. Applicant respectfully requests that the typographical error be corrected. A copy of the Filing Receipt with Applicants' requested correction indicated is also enclosed.

Serial No. 10/808,820  
October 13, 2003  
Page 2

Applicants further respectfully request that a new and corrected Filing Receipt be issued.

Respectfully submitted,

By 

Ian G. DiBernardo  
Registration No. 40,991  
Attorney for Applicants  
Stroock & Stroock & Lavan LLP  
180 Maiden Lane  
New York, New York 10038  
212-806-5400  
Enclosures

SSL-DOC51 1504856v1

STROOCK & STROOCK & LAVAN LLP • NEW YORK • LOS ANGELES • MIAMI

PAGE 4/12 \* RCVD AT 10/13/2004 4:24:50 PM [Eastern Daylight Time] \* SVR:USPTO-EFXRF-2/1 \* DNIS:7469195 \* CSID: \* DURATION (mm:ss):03-04 .COM



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 PO Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY/DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/808,820	03/25/2004	3624	1270	649087/004 SPB/RE	42	31	5

Steven B. Pokotilow  
 Stroock & Stroock & Lavan LLP  
 180 Maiden Lane  
 New York, NY 10038

CONFIRMATION NO. 7594  
 UPDATED FILING RECEIPT  
  
 \*OC000000013572545\*

Date Mailed: 08/18/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) **Warden**  
 James Warden Toffey, Summit, NJ;

## Domestic Priority data as claimed by applicant

This appln claims benefit of 60/457,845 03/25/2003

## Foreign Applications

If Required, Foreign Filing License Granted: 06/07/2004

Projected Publication Date: 11/25/2004

Non-Publication Request: No

Early Publication Request: No

## Title

Method and system for effecting straight-through-processing of trades of various financial instruments

## Preliminary Class

705

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.63(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 6.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).